UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/971,717	10/04/2001	David Ian Houlding	92717-319	3038

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EXAMINER
SHIFERAW, ELENI A

ART UNIT	PAPER NUMBER
2136	

DATE MAILED: 06/23/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

	Application No.	Applicant(s)
Office Action Summary	09/971,717	HOULDING, DAVID IAN
	Examiner	Art Unit	
	Eleni A. Shiferaw	2136	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _03 April 2006_.

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _1-13,15-22 and 24-26_ is/are pending in the application.

4a) Of the above claim(s) _14, and 23_ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-13,15-22 and 24-26_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
   Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
   Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

DETAILED ACTION

Response to Amendment

1.   Applicant's arguments with respect to amended claims 1, 12, 19, 24, and 26, previously

canceled claims claim 14 and 23, and presently pending claims 1-13, 15-22, and 24-26 have been

considered but are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 USC § 102

2.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the

basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (e) the invention was described in (1) an application for patent, published under section 122(b), by another filed
> in the United States before the invention by the applicant for patent or (2) a patent granted on an application for
> patent by another filed in the United States before the invention by the applicant for patent, except that an
> international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this
> subsection of an application filed in the United States only if the international application designated the United
> States and was published under Article 21(2) of such treaty in the English language.

3.   Claims 1-13, 15-22, and 24-06 are rejected under 35 U.S.C. 102(e) as being anticipated

by Cunningham et al. Pub. No.: US 2005/0086295 A1.

Regarding claims 1 and 26, Cunningham et al. teaches a method/system for providing security

(fig. 2 element 21) to a client computing system (fig. 2 element 11) in communication with a

host communication system across a network (fig. 2 element 31), said method comprising:

executing a browser on the client computing system (0022; *client web browser is

executed*);

communicating, from the client to the host computing system, a request to download data

to be displayed in the browser (0027-0028, 0035 and 0031);

downloading the data from the host computing system to the client computing system via a client side firewall in response to the download request (fig. 4; *downloading real-time data to client computing system via client firewall as shown on fig. 2 element 21, from the server based on client request*);

loading an interactive software application in the browser, the interactive software application utilizing the data downloaded from the host computing system (claim 1, 0029, and 0032; *asynchronous hypertext messages encoded in said HTML document*);

executing the interactive software application in the browser on the client computing system, the interactive software application being in communication with at least one element on the client side behind the client side firewall (0051-0052; *the hypertext message in HTML document sent from server to client is executed/displayed on the client computing system in communication with the client system*);

wherein the at least one element is outside the browser operating on the client computing system and includes a component of an underlying architecture of the client computing system (0010-0013; *the application received and displayed is in communication with the client underlying architecture system*); and

wherein the communication between the interactive software application and the at least one element does not pass through the client side firewall (0003 and 0032-0033; *the well-known blocking certain ports technique on the system of firewall security ... example: IRC port not being communicating with client underlying architecture, for instant messages*);

Regarding claim 12, Cunningham et al. discloses a system for providing security to a client

computing system operating a browser in communication with an interactive software

application maintained by a host computing system (figs. 2-5), said system comprising:

at least one processor in the client computing system operable to generate and

communicate a request to download the interactive software application from the host computing

system to the client computing system (0027-0028, and 0031);

a memory operating in the client computing system to store the interactive software

application downloaded in response to the download request, said at least one processor

executing the stored interactive software application inside the browser on the client computing

system, the executed interactive software application and the browser being in communication

with at least one element (fig. 4; *downloading real-time data to client computing system memory*

storage via client firewall as shown on fig. 2 element 21, from the server based on client

request);

wherein the at least one element is outside the browser operating on the client computing

system and includes a component of an underlying architecture of the client computing system

(0010-0013; *the application received and displayed is in communication with the client*

underlying architecture system); and

wherein the communication between the interactive software application and the at least

one element does not pass through the client side firewall (0003 and 0032-0033; *the well-known*

blocking certain ports technique on the system of firewall security ... example: IRC port not

being communicating with client underlying architecture, for instant messages);

Regarding claim 19, Cunningham et al. discloses a method for providing security to a client

computing system operating an interactive software application (figs. 2-5), said method

comprising:

loading the interactive software application on the client computing system (fig. 4;

downloading real-time data to client computing system via client firewall as shown on fig. 2

element 21, from the server based on client request);

executing the interactive software application on the client computing system (0051-

0052; *the hypertext message in HTML document sent from server to client is executed/displayed*

on the client computing system in communication with the client system);

communicating a digital signature to the browser (0034, 0038, 0058 TABLE 1, and 0065;

signature/certificate authentication);

verifying digital signature (0034, 0038, 0058 TABLE 1, and 0065; *signature/certificate*

authentication and verification);

upon confirmation of the digital signature, opening a port of the browser for receiving

data from at least one element (fig. 4 element S8-S9 and 0034-0052; *authenticating based on*

signature and opening port to provide data);

communicating data between the at least one element and the browser on the client

computing system (0051-0052; *the hypertext message in HTML document sent from server to*

client is executed/displayed on the client computing system in communication with the client

system);

wherein the at least one element is outside the browser operating on the client computing

system and includes a component of an underlying architecture of the client computing system

(0010-0013; *the application received and displayed is in communication with the client*

underlying architecture system); and

     wherein the communication between the interactive software application and the at least

one element does not pass through the client side firewall (0003 and 0032-0033; *the well-known*

blocking certain ports technique on the system of firewall security ... example: IRC port not

being communicating with client underlying architecture, for instant messages);

Regarding claims 2 and 13, Cunningham et al. discloses the method/system wherein the

communication includes issuing and receiving events (claim 1).

Regarding claims 3 and 14, Cunningham et al. discloses the method/system wherein the at least

one element includes at least one of a browser and an element of an underlying architecture

(0035-0052).

Regarding claims 4 and 15, Cunningham et al. discloses the method/system wherein the

interactive software application is an applet (claim 5 and 0064);

Regarding claim 5 Cunningham et al. discloses the method/system wherein the applet is Java

applet (claim 5 and 0064);

Regarding claims 6, 16 and 22, Cunningham et al. discloses the method/system wherein the

communication commences after verification of a digital signature (0034, 0038, 0058 TABLE 1,

and 0065);

Regarding claim 7, Cunningham et al. discloses the method/system further comprising:

reading a digital signature (0034, 0038, 0058 TABLE 1, and 0065; *reading it to*

authenticate);

verifying the digital signature (0034, 0038, 0058 TABLE 1, and 0065;

certificate/signature authentication); and

opening a port of the browser to receive events from the at least one element (fig. 4

element S8-S9 and 0034-0052; *authenticating based on signature and opening port to provide*

data).

Regarding claims 8 and 17, Cunningham et al. discloses the method/system wherein the data

includes a model representative of an underlying architecture of a software system (0030, and

0028).

Regarding claim 10, Cunningham et al. discloses the method/system wherein the data includes

content and format information (0035-0052).

Regarding claims 11, 18 and 25, Cunningham et al. discloses the method/system wherein the

browser is a web browser (claim 22 and fig. 2 element 51).

Regarding claim 20, Cunningham et al. discloses the method/system wherein the data includes at least one of events and requests (0058 TABLE 1).

Regarding claim 21, Cunningham et al. discloses the method/system wherein the events and requests utilize the HTTP protocol (claim 31).
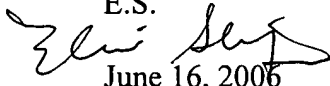
Regarding claim 24, Cunningham et al. discloses the method/system wherein the at least one element operates on the client side of the client firewall (0024).

Conclusion

4.   Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eleni A. Shiferaw whose telephone number is 571-272-3867. The examiner can normally be reached on Mon-Fri 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz R. Sheikh can be reached on 571-272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would

like assistance from a USPTO Customer Service Representative or access to the automated

information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

E.S.
June 16, 2006

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